

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK	
TO: GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO N1-412-87-4	DATE RECEIVED 5-5-87
1. FROM (Agency or establishment) ENVIRONMENTAL PROTECTION AGENCY		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION OFFICE OF POLICY, PLANNING, AND EVALUATION		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER HAROLD WEBSTER THOMAS TASKER	5. TELEPHONE EXT 382-5912 382-5911	DATE 12/7/87	ARCHIVIST OF THE UNITED STATES <i>Claudia J. Weiner</i>
6. CERTIFICATE OF AGENCY REPRESENTATIVE			

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 7 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A GAO concurrence ☐ is attached, or ☒ is unnecessary

B. DATE 5/1/87	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>Thomas Tasker</i> THOMAS TASKER	D. TITLE AGENCY RECORDS MANAGEMENT OFFICER	
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)
1-25	The Planning and Evaluation and Program Reporting Records Control Schedule is being revised to make it consistent with the Program's current operations. The revision of this Schedule is part of a major review and update of the EPA Records Control Schedules. Attached is a copy of the revised Planning and Evaluations and Program Reporting Records Control Schedule.	Appendix B Schedule 21 and Appendix C Schedule 13	
		(10 items)	

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED. NO

TITLE OF SCHEDULE		COVERAGE OF SCHEDULE
PLANNING AND EVALUATION AND PROGRAM REPORTING RECORDS		AGENCYWIDE
ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
1.	<u>Controlled and Major Correspondence of the Assistant Administrator for Policy, Planning, and Evaluation.</u> Includes copies of controlled and major correspondence signed by the Assistant Administrator. The correspondence significantly documents the program activities and was processed under special handling control procedures because of the importance of the letters or time requirements of replies. Records consist of copies of incoming letters, copies of the responses, and enclosures.	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office current plus 1 additional year, then transfer to the FRC. Keep in FRC for 20 years, then offer to the National Archives in 5 year blocks.</p>
2.	<u>General Correspondence of the Assistant Administrator for Policy, Planning, and Evaluation.</u> Includes copies of non-controlled (routine) correspondence. Records consist of incoming letters and replies.	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office 1 year, then transfer to FRC. Destroy when 5 years old.</p>
3.	<u>Program Development File.</u> Consists of records related to the development of the Office of Policy, Planning, and Evaluation programs. Records consist of correspondence, issue papers and reports relative to policy, strategy, program control, research priorities, legislative priorities, and other related records.	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file at end of 2 years. Keep in office 3 years, then transfer to the FRC. Keep in FRC for 20 years, then offer to the National Archives in 5 year blocks.</p>
4.	<u>Program Management File.</u> Consists of records related to the management and administrative support of each unit of the Office of Policy, Planning, and Evaluation programs. Records consist of program planning and implementation, personnel needs, work accomplishments, budgetary materials, and other program management activities.	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office 1 year, then transfer to the FRC. Destroy when 5 years old.</p>
5.	<u>Speeches by Assistant Administrator Staff.</u> Speeches prepared for delivery at civic functions and professional conferences and meetings.	<p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> Retain 1 year.</p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file after presentation. Keep in office 5 years, then transfer to the FRC. Keep in FRC 5 years, then offer to the National Archives in 5 year blocks.</p> <p>b. <u>Information Copies:</u> Destroy when 1 year old or sooner if no longer needed.</p>

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TITLE OF SCHEDULE

PLANNING AND EVALUATION AND PROGRAM REPORTING RECORDS

COVERAGE OF SCHEDULE

AGENCYWIDE

ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
6.	<u>Freedom of Information Response File.</u> Includes copies of incoming requests for information under the Freedom of Information Act, copies of replies, and copies of any interagency memoranda concerning the request. Note: this file does not contain the Program's official record of information being requested.	<p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office current plus 1 additional year. Destroy when 2 years old.</p>
7.	<u>Regulations, Standards, and Guidelines.</u> Contains information related to the development and implementation of rules for effecting environmental legislation. Records consists of work group organization requests, work plans, drafts of rules, interagency comments, steering committee reviews, clips from Federal Register, etc.	<p><u>Retention:</u></p> <p>a. <u>Office Copy:</u> Retain 10 years.</p> <p>b. <u>Work Copy:</u> Retain 1 year</p> <p><u>Disposition:</u></p> <p>a. <u>Office Copy.</u> Break file upon publication as final rule in Federal Register. Keep in office 2 years, then transfer to the FRC. Destroy when 10 years old.</p> <p>b. <u>Work Copy.</u> Break file upon publication as final rule in Federal Register. Keep in office 1 year, then destroy.</p>
8.	<u>Reports to Congress - Final Copy.</u> Reports made to Congress by EPA in accordance with the mandates of the Clean Air Act, Clean Water Act, and other environmental legislation.	<p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> As determined by user's needs.</p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file upon completion of report. Keep in office 5 years, then transfer to the FRC. Keep in FRC 15 years, then offer to the National Archives.</p> <p>b. <u>Information Copies.</u> Destroy when no longer used.</p>

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9.	<u>Reports to Congress— Work Files.</u> Contains data pertaining to the organization, design, construction, evaluation, and revision of Reports prepared for Congress by EPA. Records consist of requests to form work groups, work plans, minutes of work group meetings, initial and corrected drafts of parts or all of reports, distribution lists, comments on revised and final drafts.	<u>Retention:</u> Retain 6 years. <u>Disposition:</u> Break file upon publication of report. Keep in Office 2 years, then transfer to the FRC. Destroy when 6 years old.
10.	<u>EPA Steering Committee Meeting File.</u> Contains documents pertaining to the arrangements, conduct, and results of EPA Steering Committee weekly and biweekly meetings. Steering committee meetings contribute to the making of EPA Policy. Records consist of agendas, talking papers, development plan submissions, summary and minutes of meetings.	<u>Retention:</u> Permanent. <u>Disposition:</u> Break file at end of year. Keep in office 1 year, then transfer to the FRC. Keep in FRC 20 years, then offer to the National Archives.
11.	<u>Standards and Regulations Information System Planning and Status Reports.</u> Computer produced reports providing the designation, problems, development status, names of key personnel and lead offices, schedule, and milestones for regulations, standards, and guidelines and congressional reports.	<u>Retention:</u> Current plus 2 prior editions. <u>Disposition:</u> Break upon receipt of report. Keep in office until receipt of 3 additional editions, then destroy.
12.	<u>Program Policy Planning File.</u> File contains the documents relating to the work and output of the Office. The program's activities are formulating policies and plans in areas which cross-cut program functions, and developing and analyzing key policy and legislative issues. Records consist of correspondence and reports on energy situation and impact on environmental program, comments on pending and proposed legislation, issue papers on construction grants program, copies of regulations, speeches, testimony for congressional hearings, investigation and project reports.	<u>Retention:</u> Permanent. <u>Disposition:</u> Break file at end of 2 years. Keep in office 2 years, then transfer to the FRC. Keep in the FRC 20 years, then offer to the National Archives.
13.	<u>Economic Dislocation (Early Warning) Report.</u> A quarterly report made by EPA to provide the Department of Labor with advanced warning of actual and potential job losses resulting from environmental regulations. Report provides names and location of plants, number of jobs lost, anticipated enforcement action, expenditures required to meet requirements of regulations. Provides consolidated picture of industries unwillingness or inability to satisfy pollution control requirements.	<u>Retention:</u> Permanent. <u>Disposition:</u> Break file at end of year. Keep in office 5 years, then transfer to the FRC. Keep in the FRC 20 years, then offer to the National Archives.

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14.	<u>Contracts - Project Group File.</u> Contains documents relating to the formulation, award, and changes in contracts for special studies and support services. Records consist of procurement requests, proposals, justification statements, task orders, bid evaluations, award notices, copies of invoices, reports of payment, progress reports.	<p><u>Retention:</u> Retain 6 years.</p> <p><u>Disposition:</u> Break file upon completion of project. Keep in office 1 year, then transfer to the FRC. Destroy when 6 years old.</p>
15.	<u>Contract Proposals.</u> Solicited and unsolicited proposals by consultants, universities, and commercial and industrial contractors to make studies or surveys or provide goods or services.	<p><u>Retention:</u> Receipt of proposal plus 1 year.</p> <p><u>Disposition:</u> Break file upon receipt of proposal. Keep in office 1 year, then destroy.</p>
16.	<u>Final Reports Resulting from Contractor, Grantee, Inter- and Intra-Agency Studies, Surveys, and Services.</u> Final project and study reports submitted to EPA by contractors, grantees, inter- and intra-agency study groups. Covers the economic analysis of Effluent Guidelines for various industrial groups, economic effects of energy crisis on EPA programs, economic impact of regulations and standards on selected industrial groups, etc.	<p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copy.</u> As determined by user's needs.</p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file upon completion of project evaluation and comment period. Keep in office 1 year, then transfer to the FRC. Keep in the FRC 20 years, then offer to the National Archives.</p> <p>b. <u>Information Copies.</u> Destroy when no longer used.</p>
17.	<u>Program and Program Activity Evaluation Work Files.</u> Contains documents pertaining to the review and analysis of and reports on EPA programs and program group activities. Records consist of request to make study, samples of program group documents, interview and investigation notes, program group's handbooks and reports, review summary notes, draft of evaluation report.	<p><u>Retention:</u> Retain 1 year.</p> <p><u>Disposition:</u> Break file upon completion of report. Keep in office 1 year, then destroy.</p>

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18.	<u>Program and Program Activity Evaluation Reports.</u> Final reports resulting from the study and analysis of EPA programs and program activities by the Office of Policy, Planning, and Evaluation.	<u>Retention:</u> Retain 5 years. <u>Disposition:</u> Break file upon completion of report. Keep in office 5 years, then destroy.
19.	<u>Annual Headquarters Operating Guidance Paper and Regional Guidance Plan.</u> An overall plan covering the objectives of the Agency, the priority and strategy for their attainment, the group assigned task responsibility, and the anticipated date of completion. Plan represents the prime product of the Management by Objective process, and the collective strategy studies for implementing environmental legislation. Separate write-ups made for Headquarters and Regions.	<u>Retention:</u> a. <u>Record Copy.</u> Permanent. b. <u>Information Copies.</u> Retain current plus 1 year. <u>Disposition:</u> a. <u>Record Copy.</u> Break file upon completion of plan. Keep in office 10 years, then transfer to the FRC. Keep in the FRC 15 years, then offer to the National Archives.
20.	<u>Personal Reference Collections.</u> Collections of technical and related reference documents and printed material maintained by individual staff members for personal use. Records consist of articles from professional journals, information copies of technical reports, copies of authored and received memorandums and correspondence, photos, maps, handbooks, etc.	<u>Retention:</u> See disposition below. <u>Disposition:</u> Break file upon termination or transfer of staff member. Review file and remove any records of value to the Agency. Offer file to departing staff member. If offer rejected, keep 1 month, then destroy.
21.	<u>Agency Program Plans Review File.</u> Record copies of Headquarters and Regional Office program plans/goals and requests for changes to the plans. Plans show status of each Agency program objectives for coming fiscal year. Records consist of copy of program plan, change requests, evaluation of plans, and correspondence and other related supporting papers. Also, includes regional guidance reports and revisions.	<u>Retention:</u> Retain 10 years. <u>Disposition:</u> Break file at end of fiscal year. Keep in office 1 additional fiscal year, then transfer to the FRC. Destroy when 10 years old.
22.	<u>Regional Briefing Books.</u> Record copies of reports used by various management officials to evaluate the current status of regional programs when making site visits to regions.	<u>Retention:</u> See disposition below. <u>Disposition:</u> Destroy after superseded by new reports.

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ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION	
23.	<u>Management Accountability System (MAS) Reporting System Development File.</u> Record copies of documents used to develop and implement the MAS, which is an automated Agency wide system producing reports showing the status of approved program plans. Records consist of system design plans, design revisions, the development of graphic display capability, interface with other systems, the users manual, and other related records.	<u>Retention:</u> Retain 5 years. <u>Disposition:</u> Break file at end of year. Keep in office 2 years, then transfer to the FRC. Destroy when 5 years old.	
24.	<u>Management Accountability System (MAS) Reporting System Status Reports.</u> Record copies of computer produced reports generated by the MAS Reporting System, used to monitor the status of selected Headquarters and Regional programs against the approved program plans for each fiscal year. These quarterly reports show planned accomplishments, current current progress, and percent of planned activity completed as of the reporting date. Individual reports include end-of-year report, executive summary report, management action report, program summary report, and others.	<u>Retention:</u> Permanent. <u>Disposition:</u> Break file at end of fiscal year. Keep in office 3 years, then transfer to the FRC. Keep in FRC 10 years, then offer to the National Archives.	
25.	<u>Reports Clearance File.</u> Record copies of records used to review and approve internal Agency reports, public use reports, and interagency reports, as provided by the Federal Reports Act of 1950, the Federal Records Act of 1942, and OMB Circular A-40. <u>a. Public Use Reports.</u> Includes all public use reports which require clearance by OMB. Records consist of clearance requests and notice of action, supporting statements, copy of the form or report, and other records used in evaluating the request. <u>b. Interagency Reports.</u> Includes all interagency reports requiring clearance by GSA. Records consist of a copy of the proposed report, clearance request, supporting directive, justification statement, and other records used in evaluating the request. <u>c. EPA Internal Reports.</u> Includes all internal Agency reports requiring clearance by the reports management program. Records consist of copy of the report, clearance request, and other supporting papers.	<u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file upon expiration. Keep in office 2 years, then destroy. <u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file upon expiration. Keep in office 2 years, then destroy. <u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file upon discontinuance. Keep in office 2 years, then destroy.	

Atch to SF 115 (Info for "PERMANENT" retention records)

Title Of Schedule: Planning and Evaluation and Program Reporting

<u>Item No.</u>	<u>Volume On Hand (Cubic Ft.)</u>	<u>Growth Per Year (Cubic Ft.)</u>	<u>Arrangen Of Files</u>
1.	2	1/2	Subject
3.	4	1	Subject
5.	1/2	1/4	Chronolo.

Atch to SF 115 (Revised Item Numbers compared to Previous Item Numbers,
Schedule Number, and NARS Job Number)

Title Of Schedule: Planning and Evaluation and Program Reporting Records

<u>REVISED</u> <u>Item Numbers</u>	<u>Item No.</u>	<u>PREVIOUS</u> <u>Schedule No.</u>	<u>NARS Job No.</u>
1. (New)		C-13	NC1-412-76-4
2. (New)			
3. (New)			
4.	1.		
5. (New)			
6. (New)			
7.	2.		
8.	3.		
9.	4.		
10.	5.		
11.	6.		
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13.	8.		
14.	9.		
15.	10.		
16.	11.		
17.	12.		
18.	13.		
19.	14.		
20.	16.		
21.	1.	B-21	NC1-412-77-3
22.	2.		
23.	3.		
24.	4.		
25.	5.		